



**COPY OF PAPERS  
ORIGINALLY FILED**

1614

Please type a plus sign (+) inside this box **+**

PTO/SB/21 (08-00)

Approved for use through 10/31/02. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL  
FORM**

*(to be used for all correspondence after initial filing)*

Application Number	09/767,283
Filing Date	January 22, 2001
First Named Inventor	Gary D. GLICK
Group Art Unit	1614
Examiner Name	Not Yet Assigned
Attorney Docket No.	UM 2038.02

**RECEIVED**

APR 01 2002

TECH CENTER 1600/2900

**ENCLOSURES (check all that apply)**

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers <i>(for an Application)</i>	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input checked="" type="checkbox"/> Preliminary Amendment	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group <i>(Appeal Notice, Brief, Reply Brief)</i>
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declarations	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<b><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Request for a Corrected Filing Receipt, Copy of Filing Receipt with Requested Corrections, Copies of 2 references and return Postcard.</b>
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input checked="" type="checkbox"/> Supplemental Information Disclosure Statement w/Form PTO-1449	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

**SIGNATURE OF APPLICANT, ATTORNEY OR AGENT**

Firm or Individual Name	Antoinette F. Konski Michele Todd Wasmuth McCutchen, Doyle, Brown & Enersen, LLP Three Embarcadero Center, Suite 1800 San Francisco, California 94111
-------------------------	---

Signature	<i>Michele Todd Wasmuth</i>
-----------	-----------------------------

Date	March 11, 2002
------	----------------

**CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"**

Date of Deposit: March 11, 2002

I hereby certify that this paper or fee is being deposited with the United States Postal Service as first class mail on the date indicated above and is addressed to: Commissioner for Patents, Washington, D.C. 20231.

*Jocelyn L. Lee*

Jocelyn L. Lee

Burden Hours Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Certificate of Mailing/Transmission (37 C.F.R. § 1.8(a)):

[X] I hereby certify that this paper and all enclosures are being deposited with the United States Postal Service as first class mail on the date indicated below in an envelope addressed to the Commissioner for Patents, Washington D.C. 20231.

[ ] I hereby certify that this paper and all enclosures are being sent via facsimile on the date indicated below to the attention to the Commissioner for Patents at Facsimile No. (703) 872-9306 at \_\_\_\_\_ a.m./p.m.

Dated: March 11, 2002

Name of Person Certifying:

Printed Name: Jocelyn L. Lee

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application for:

Gary D. GLICK

Serial No.: 09/767,283

Filing Date: January 22, 2001

For: THERAPEUTIC APPLICATION OF  
PRO-APOPTOTIC BENZODIAZEPINES



RECEIVED

APR 01 2002

TECH CENTER 1600/2900

Examiner: Unassigned

Group Art Unit: 1614

Commissioner for Patents  
Washington, D.C. 20231

REQUEST FOR A CORRECTED FILING RECEIPT

Dear Sir:

As a result of the entry of the preliminary amendment enclosed, herewith, please furnish the undersigned with a corrected Filing Receipt for the above-identified application. A marked up copy of the Filing Receipt is attached. The correction needed is as follows:

Please change the Domestic Priority data as claimed by applicant to read as follows:

THIS APPLICATION IS A CON OF 09/700,101 11/08/2000  
WHICH IS A 371 OF PCT/US00/11599 04/27/2000  
WHICH CLAIMS BENEFIT OF 60/131,761 04/30/1999  
AND CLAIMS BENEFIT OF 60/165,511 11/15/1999  
AND CLAIMS BENEFIT OF 60/191,855 03/24/1999

Also please correct the attorney's mailing address to:

McCutchen, Doyle, Brown & Enersen, LLP,  
Three Embarcadero Center, Suite 1800  
San Francisco, CA 94111.

The Commissioner is hereby authorized to charge any fees that may be required by this transmittal and associated documents, or to credit any overpayment to Deposit Acct. No. 50-1189, Billing Reference No. 23980-7028.

Respectfully submitted,

Date: March 11, 2002

By: Michele Todd Wasmuth  
Antoinette F. Konski  
Reg. No. 34,202

Michele Todd Wasmuth  
Reg. No. 43,239

McCutchen, Doyle, Brown & Enersen, LLP  
Three Embarcadero Center, Suite 1800  
San Francisco, California 94111  
Telephone: (650) 849-4950  
Telefax: (650) 849-4800

RECEIVED  
Page 1 of 4

APR 01 2002

TECH CENTER 1600/2900



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/767,283	01/22/2001	1614	490	128019- 203802	15	9	2



Atoinette F. Konski  
Baker & McKenzie  
660 Hansen Way  
Palo Alto, CA 94304

CONFIRMATION NO. 2710

## FILING RECEIPT



"OC000000006020469"

Date Mailed: 04/30/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Gary D. Glick, Ann Arbor, MI;  
Anthony W. Opiari JR., Ann Arbor, MI;

Baker &amp; McKenzie

MAY 3 2001

Received  
Patent Dept.

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CON OF 09/700,101 11/08/2000  
WHICH IS A 371 OF PCT/US00/11599 04/27/2000  
WHICH IS A CIP OF 08/881,037 06/23/1997 PAT 6,080,588  
THIS APPLICATION 09/767,283  
IS A DIV OF 08/443,540 05/18/1995 ABN  
WHICH IS A CIP OF 09/018,026 02/02/1998 ABN  
WHICH IS A CIP OF 08/943,983 10/03/1997 ABN  
THIS APPLICATION 09/767,283  
WHICH CLAIMS BENEFIT OF 60/131,761 04/30/1999  
AND SAID 08/943,983 10/03/1997  
AND CLAIMS BENEFIT OF 60/165,511 11/15/1999  
AND CLAIMS BENEFIT OF 60/165,855 11/16/1999

## Foreign Applications

If Required, Foreign Filing License Granted 04/25/2001

Projected Publication Date: 08/09/2001

Non-Publication Request: No

Early Publication Request: No

**\*\* SMALL ENTITY \*\***

**RECEIVED**

APR 01 2002

TECH CENTER 1600/2900

Title

Therapeutic application of pro-apoptotic benzodiazepines

Preliminary Class

514

---

Data entry by : TEKLEMICHAEL, MULU

Team : OIPE

Date: 04/30/2001



**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231